

D.J. #5 6-27-05  
TDS w/Replies

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JC903 U.S. PTO  
09/92/771  
08/10/01  


APPLICANT: Erik W. Rasmussen  
SERIAL NO.: Not yet assigned.  
FILING DATE: August 10, 2001  
TITLE: SOUND PROCESSING SYSTEM INCLUDING FORWARD FILTER THAT EXHIBITS ARBITRARY DIRECTIVITY AND GRADIENT RESPONSE IN SINGLE WAVE SOUND ENVIRONMENT  
EXAMINER: Not yet assigned.  
ART UNIT: Not yet assigned.

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**CERTIFICATE OF MAILING**

I hereby certify that this paper is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date printed below:

Date: 8/10/01

Name: Diane Morse  
Diane Morse

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COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

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**INFORMATION DISCLOSURE STATEMENT**

Each item of information listed in the attached FORM PTO-1449, for which a copy of each is attached, may be material to the examination of the above-identified application and is, therefore, submitted in compliance with the duty of disclosure defined in 37 CFR §§ 1.56, 1.97 and 1.98. The Examiner is requested to make these items of official record in this application.

This Information Disclosure Statement under 37 CFR §§ 1.56, 1.97 and 1.98 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one or more of these items constitutes prior art.

## I

This information disclosure statement is filed pursuant to:

37 C.F.R. § 1.97(b).

This information disclosure statement is filed within one of the following time periods:

- (1) Within three months of the filing date of a national application;
- (2) Within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application;
- (3) Before the mailing date of a first Office action on the merits; or
- (4) Before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.

Accordingly, this information disclosure statement requires no fee and no certification.

37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the periods permitted in 37 C.F.R. § 1.97 (b), but before the mailing date of either:

- (1) A final action under 37 C.F.R. § 1.113; or
- (2) A notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17 (p) for submission of an information disclosure statement under 37 C.F.R. § 1.97 (c) (\$180); or a certification according to 37 C.F.R. § 1.97 (e) (See Below).

37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the periods permitted in 37 C.F.R. §§ 1.97 (b) and (c), but on or before payment of the issue fee.

Accordingly, this information disclosure statement requires:

- (1) a statement as specified in 37 C.F.R. § 1.97(e) (See Below);
- (2) a petition requesting consideration of the information disclosure statement; and
- (3) the petition fee set forth in 37 C.F.R. § 1.17 (i) (\$130.00).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. To the extent required,

please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## II

(XX) No fee is due.

( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$180.00).

Please charge any additional required fee or credit any overpayment to our deposit account number 50-1698. An additional copy of this page is enclosed.

## III

Pursuant to 37 C.F.R. § 1.97(e) , I certify:

(XX) No certification is necessary.

( ) (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.

## IV

( ) **Petition for Acceptance of Information Disclosure Statement**

If this paragraph is checked above, Applicant hereby petitions the Commissioner of Patents to accept the attached Information Disclosure Statement. A fee in accordance with 37 C.F.R. § 1.17(i) is included herewith or, in the alternative, the

Commissioner is authorized to debit the deposit account of the undersigned (50-1698) for the amount of the fee and any other charges required hereby.

Respectfully submitted,  
THELEN REID & PRIEST LLP

  
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David B. Ritchie  
Reg. No. 31,562

Dated: August 10, 2001

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Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office					Atty. Docket No. SNX-028	Serial No. Not yet assigned.	
Information Disclosure Statement by Applicant  (Use several sheets if necessary)					Applicant: Erik W. Rasmussen		
					Filed:	Group:	
<b>U.S. Patent Documents</b>							
Init.		Document No.	Date	Name	Class	Subclass	Filing Date
	A	4,589,137	05/13/86	Miller	381	94	01/03/85
	B	4,802,227	01/31/89	Elko et al.	381	92	04/03/87
	C	5,347,496	09/13/94	Clark et al.	367	140	08/11/93
	D	5,473,684	12/05/95	Bartlett et al.	379	387	04/21/94
	E	5,473,701	12/05/95	Cezanne et al.	381	92	11/05/93
	F	5,553,134	09/03/96	Allen et al.	379	387	05/18/95
	G	5,648,936	07/15/97	Clark et al.	367	13	06/30/95
	H	5,651,071	07/22/97	Lindemann et al.	381	68.2	09/17/93
	I	5,825,898	10/20/98	Marash	381	92	06/27/96
<b>Foreign Documents</b>							
Translation							
Init.		Document No.	Date	Country	Class	Subclass	Yes No
	J	0 679 044 A2	10/25/95	Europe	H04R	00	XX
	K	2 202 942	10/05/88	Great Britan	G01H 3	10	XX
	L	9-146443	06/06/97	Japan	G03H 3	00	XX
	M	11-18191	01/22/99	Japan	H04R 3	00	XX
	N	2000-47699	02/18/00	Japan	G10L 21	02	XX
	O	WO 95/08248	03/23/95	PCT	H04R 25	00	XX
	P	WO 97/29614	08/14/97	PCT	H04R 3	00	XX
	Q	WO 97/50186	12/31/97	PCT	H04B 1	12	XX
	R	WO 98/47227	10/22/98	PCT	H03H 21	00	XX
	S	WO 99/04598	01/28/99	PCT	H04R 3	00	XX
	T	WO 99/09786	02/25/99	PCT	H04R 3	00	XX
	U	WO 99/39497	08/05/99	PCT	H04M 9	08	XX
	V	WO 99/52211	10/14/99	PCT	H03H 21	00	XX
	W	WO 99/53336	10/21/99	PCT	G01S 5	02	XX
	X	WO 00/33634	06/15/00	PCT	None	None	XX
	Y	WO 00/41436	07/13/00	PCT	H04R 3	00	XX

JC903 U.S. PTO  
609/927/1  
08/10/01

Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office			Atty. Docket No. SNX-028	Serial No. Not yet assigned.
<b>Information Disclosure Statement by Applicant</b>  (Use several sheets if necessary)			Applicant: Erik W. Rasmussen	
			Filed: Group:	
<b>Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)</b>				
	Z	Greenberg, Julie E., et al., "Evaluation of an Adaptive Beamforming Method for Hearing Aids"; J. Acoustical Society of America, Vol. 91, No. 3 (March 1992): pgs. 1662-1676.		
	AA	Kollmeier, B., et al., "Binaural Noise-Reduction Hearing Aid Scheme with Real-Time Processing in the Frequency Domain"; Scand Audiol (1993); Suppl. 38: pgs. 28-38.		
	AB	Kollmeier, Birger, et al., "Real-time Multiband Dynamic Compression and Noise Reduction for Binaural Hearing Aids"; Journal of Rehabilitation Research and Development, Vol. 30 No. 1 (1993): pgs. 82-94.		
	AC	Wittkop, Thomas, et al., "Speech Processing for Hearing Aids: Noise Reduction Motivated by Models of Binaural Interaction"; ACUSTICA – acta acustica, Vol. 83 (1997): pgs. 684-699.		
Examiner			Date Considered	
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.				